

# SCOTTSDALE CAPITAL ADVISORS

Member FINRA & SIPC

## Account Application Agreement Supplement

ACCOUNT NO. \_\_\_\_\_

Scottsdale Capital Advisors (SCA) has entered into an arrangement with Clearing Firm's ("Clearing Firm") to provide clearing and execution services to accounts introduced by SCA. SCA may enter into other clearing arrangements with other Clearing Firms for the same purpose. This Account Application Agreement Supplement sets forth additional terms and conditions concerning your relationship with SCA. By signing below you hereby agree to the following:

I have read and understand SCA's general Disclaimer, including the following referenced disclosures, as applicable to my account: SCA's Privacy Statement, the Margin Disclosure Statement, Day-Trading Risk Disclosure Statement, Options Risk Disclosure (including a Supplements thereto), Portfolio Margin Acknowledgement, Payment for Order Flow, Order Routing, and Mutual Funds Breakpoint Discounts. The Disclaimer also contains important information about SIPC (including a link to its website). I agree to access the Disclaimer and the above linked disclosures electronically from the homepage of SCA's website at [www.scottsdalecapital.com](http://www.scottsdalecapital.com) (the "Website") for updates at least annually or sooner if directed from time to time by SCA.

Investment Adviser Clients. I received and read SCA's ADV Form Part II found in the Website.

I further agree to pay all costs, fees, expenses, liabilities associated with my account that may occur now or in the future ("Account Fees"). I authorize SCA to deduct any Account Fees due to SCA from my accounts maintained at SCA.

I understand and agree my Clearing Firm account agreement contains a predispute arbitration clause and such clause applies to any dispute between me and SCA, as the introducing broker.

To help the government fight the funding of terrorism & money laundering activities, Federal Law requires all financial institutions to obtain, verify and record information that identifies each person who opens an account. What this means to you? When you open an account, we will ask for your name, address, date of birth and other information that will allow us to identify you. We may also ask to see a copy of your driver's license or other identifying documents. Clients must provided proof of identification (copy of drivers license, passport, etc.) when opening an account and may be ask to do so again in the future.

\_\_\_\_\_  
Name

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

June 15 / 2009

\_\_\_\_\_  
Name

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

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INVESTOR RELATIONS

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**BRITISH  
COLUMBIA**Ministry of Finance  
Corporate and Personal  
Property RegistriesPO Box 9431 Stn Prov Govt  
Victoria BC V8W 9V3  
[www.fin.gov.bc.ca/registries](http://www.fin.gov.bc.ca/registries)**ANNUAL REPORT**  
(Form 16)Incorporation Number:  
BC0538817**Filed and Registered on October 20, 2003**Company Name:  
KITA-KAINE INVESTMENT HOLDINGS LTD.

Registered Office Address:

SUITE 1705 1050 BURRARD ST.  
VANCOUVER BC  
V6Z2S3Date of Incorporation,  
Amalgamation or Continuation:  
March 14, 1997Date of Annual Report:  
March 14, 2003**Directors and Officers**

Name Residential Address &amp; Postal Code

KIRK, JOHN 20789 - 38A AVENUE  
LANGLEY BC , V3A 2V3

Director: Yes Officer: Yes Title: PRESIDENT, SECRETARY

**End of Annual Report**

## CANADIAN ACCREDITED INVESTOR CERTIFICATE

(BRITISH COLUMBIA, ALBERTA, SASKATCHEWAN, MANITOBA, ONTARIO, QUÉBEC, NEW BRUNSWICK, PRINCE EDWARD ISLAND, NOVA SCOTIA, NEWFOUNDLAND AND LABRADOR, NORTHWEST TERRITORIES, YUKON TERRITORY AND NUNAVUT)

In connection with the establishment of a securities account (the "Securities Account") with Alpine Securities Corporation ("Alpine"), the undersigned account holder (the "Account Holder") hereby represents, warrants, certifies and acknowledges, as applicable, to Alpine and its authorized agents, employees and representatives as follows:

- (i) The Account Holder is resident in or is subject to the laws of (*check one*):

<input checked="checked" type="checkbox"/> British Columbia	<input type="checkbox"/> Alberta	<input type="checkbox"/> Saskatchewan
<input type="checkbox"/> Manitoba	<input type="checkbox"/> Ontario	<input type="checkbox"/> Québec
<input type="checkbox"/> New Brunswick	<input type="checkbox"/> Prince Edward Island	<input type="checkbox"/> Nova Scotia
<input type="checkbox"/> Newfoundland and Labrador	<input type="checkbox"/> Northwest Territories	<input type="checkbox"/> Yukon Territory
<input type="checkbox"/> Nunavut		

- (ii) The Account Holder, or any ultimate investor for which the Account Holder is acting as agent, is an "accredited investor" as defined in section 1.1 of National Instrument 45-106 *Prospectus and Registration Exemptions* ("NI 45-106"), by virtue of satisfying the indicated criteria in Schedule "A" to this Canadian Accredited Investor Certificate (the "Certificate");
- (iii) The Account Holder is establishing the Securities Account as principal and not as the agent of another investor resident in Canada, unless otherwise permitted under NI 45-106 and applicable Canadian securities laws;
- (iv) The funds being use to fund the Securities Account or to otherwise purchase or sell securities through the Securities Account are not, to the Account Holder's knowledge, proceeds obtained or derived, directly or indirectly, as a result of illegal activities and do not represent proceeds of crime for the purpose of the *Proceeds of Crime (Money Laundering) Act* (Canada) (the "PCMLA");
- (v) The Account Holder is not a person or entity identified in the *Regulations Implementing the United Nations Resolutions on the Suppression of Terrorism* (the "RIUNRST"), the *United Nations Al-Qaida and Taliban Regulations* (the "UNAQTR"), the *Regulations Implementing the United Nations Resolution on the Democratic People's Republic of Korea* (the "UNRDPRK"), the *Regulations Implementing the United Nations Resolution on Iran* (the "RIUNRI"), the *United Nations Côte d'Ivoire Regulations* (the "Côte d'Ivoire Regulations"), the *United Nations Democratic Republic of the Congo Regulations* (the "Congo Regulations"), the *United Nations Liberia Regulations* (the "Liberia Regulations"), the *United Nations Sudan Regulations* (the "Sudan Regulations"), the *Special Economic Measures (Burma) Regulations* (the "Burma Regulations") or the *Special Economic Measures (Zimbabwe) Regulations* (the "Zimbabwe Regulations");
- (vi) Alpine may in the future be required by law to disclose the Account Holder's name and other information relating to the Securities Account, on a confidential basis, pursuant to the PCMLA, *Criminal Code* (Canada), RIUNRST, UNAQTR, UNRDPRK, RIUNRI, the Côte d'Ivoire Regulations, the Congo Regulations, the Liberia Regulations, the Sudan Regulations, the Burma Regulations and the Zimbabwe Regulations;
- (vii) To the best of the Account Holder's knowledge, none of the funds being use to fund the Securities Account or to otherwise purchase or sell securities through the Securities Account are being tendered on behalf of a person or entity who has not been identified to the Account Holder; and



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- (viii) The Account Holder shall promptly notify Alpine if the Account Holder discovers that any such representations cease to be true, and shall provide Alpine with appropriate information in connection therewith.

The Account Holder acknowledges that the purchase and sale of securities through the Securities Account is required to be made in accordance with applicable Canadian securities laws, which may require resales to be made in accordance with Canadian prospectus and registration requirements or otherwise in reliance on exemptions from the prospectus and registration requirements, which may under certain circumstances apply to resales of the securities outside of Canada.

The Account Holder acknowledges that Alpine may be required to provide certain of the provincial and territorial securities regulators with the Account Holder's name, address, telephone number and other specific information, including the number of securities purchased and the aggregate purchase price to the Account Holder, where the Account Holder purchases securities during the course of a distribution made in reliance on certain exemptions from the prospectus requirements under applicable Canadian securities laws, and that such information may become available to the public in accordance with the requirements of the securities laws in the Account Holder's province or territory of residence.

The Account Holder acknowledges that, except where otherwise expressly provided, the representations, warranties, certifications and acknowledgements set forth in the preceding paragraphs are in addition to, and without derogation from, any other representations, warranties, certifications and acknowledgements set forth in the relevant account documentation provided by Alpine in connection with the Account Holder's establishment of the Securities Account.

The Account Holder acknowledges that Alpine and its agents, employees and representatives, including their respective members, directors, officers, partners, and legal counsel, as the case may be, will rely on the truth and accuracy of the foregoing representations, warranties, certifications and acknowledgements to determine the Account Holder's suitability to establish and maintain the Securities Account under applicable Canadian securities laws, and that the decision to approve the establishment the Securities Account will be made by Alpine at its exclusive discretion.

The Account Holder acknowledges that the representations, covenants, certifications and acknowledgements contained herein shall survive the establishment of the Securities Account.

The Account Holder hereby certifies that it has expressly requested that all documents evidencing or relating in any way to the Securities Account (including for greater certainty any purchase confirmation or any notice) be drawn up in the English language only. *Par les présentes, le titulaire de compte atteste qu'il a été expressément demandé que tous les documents attestant le compte de titres ou s'y rapportant de quelque façon que ce soit (notamment les confirmations d'achat ou les avis) soient rédigés en anglais seulement.*

CERTIFIED this 18 day of June, 2009

John Kirk

Kita-Kaine Investment Holdings Company LTD

Name of Account Holder

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FINRA Logo.

## OFAC Search Tool

## Search OFAC's Sanction Program Listings

kita-kaine investment  
holdings company ltd  
john kirk

Submit Query

Clear Search

Search for: all of the words

- ☒ Specially Designated Nationals (SDN)  
☒ Palestinian Legislative Council (PLC)

- Each line should contain a separate name or phrase to search for in the OFAC Sanctions Program Listings.
- Your search will include all of the checked OFAC Listings.
- You may search for a maximum of 500 names or phrases at a time as shown in the example below:

**John Andrew Doe**  
**Smith, George Q.**  
**Airways Charters, Inc.**

How to use this tool.

## Search Results

View the records below with your search term or terms highlighted. Using the highlighted list will allow you to quickly verify whether an entity or individual appears on the OFAC Sanctions Program Listings. **If you find a match or are in doubt about a specific account or transaction or you need additional information, contact OFAC's Compliance Hotline at 800-540-6322.**

kita-kaine investment holdings company ltd - 0 hit(s)

click to expand

john kirk - 0 hit(s)

click to expand

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